

CONFIDENTIAL

**CLIENT OVERVIEW
BUSINESS CONTINUITY PLAN
KEVIN DANN & PARTNERS, LLC**

Background

FINRA has adopted rules requiring securities firms to implement plans for the continuation of business in the event of a significant business disruption (SBD). “Significant disruption” refers to local or regional events such as natural disasters, fires, power outages, act of malice, and technical or infrastructure disruptions.

Client Disclosure for Business Continuity

In accordance with these rules, Kevin Dann & Partners, LLC (“KDP”) has developed and implemented business continuity plans. Among other steps, we have made arrangements at KDP regional offices to serve as backups to our normal business and have arranged backup communications capabilities for connectivity both internally and to our clients.

Our purpose is to ensure that KDP is capable to continue business activities and continue serving our clients with the least possible impact in the event of any of the disruptive events described above or other unforeseen circumstances. This document provides clients with a high level overview of the areas addressed by our business continuity plans in the event of a SBD. For more information, please contact David Dempsey at 212-901-4061.

Highlights

- Our business continuity plans address the key elements of Life Safety, Business and Technology Recoverability, and Risk. All plans ensure clients prompt access to their funds and securities related-data during all SBDs.
- In the event of any SBD in which that our main New York office is not operating normally and to the further extent that you require access to funds, securities, or other information, customers are instructed to contact David Dempsey (973-219-7947 mobile or 973-635-4330 facsimile) or one of our regional office located in Columbus, OH (614-799-2669) or Dallas, TX (214-273-7300).
- Our clearing broker, Ridge Clearing & Outsourcing, Inc. has formally represented to KDP that they have a network of secondary and in some instances tertiary business sites to continue normal business in the event of a SBD.
- KDP has technology procedures to backup critical data from infrastructure and application servers to meet recovery and compliance requirements. Daily and intraday backups are stored with an offsite third-party vendor.

- Our plan assesses risks associated with KDP's ability to maintain communications with clients and to retrieve key activity records through its mission critical systems. In additions, our plans assess KDP's ability to fund operations and maintain adequate financing and sufficient capital.
- Alternative methods are in place to handle critical functions and services for our clients including: Order taking, Entry, Execution, Clearing, Settlement, Comparison, Delivery of Funds, Maintenance of Client Accounts, and Access to Customer Accounts.
- KDP will establish and maintain communications through the most reliable and appropriate methods given the level of SBD. This will include, on-going, communications utilizing telephones, mail, e-mail, and facsimile with client, associates, regulators, banks, and other counter-parties.

This document contains information that is proprietary and confidential to Kevin Dann & Partners, LLC. Please convey all specific inquires or questions on this document to David J. Dempsey 212-901-4061.